

## STIC Database Tracking Number:

**To:** Kenneth Bartley  
**Location:** KNX 05 B49  
**Art Unit:** 3693  
**Date:** 11/30/09  
**Case Serial Number:** 09/801,848

**From:** Paul Obiniyi  
**Location:** EIC3600  
**KNX 04 B68/ Rm04 B71**  
**Phone:** (571) 272-27734  
**paul.obiniyi@uspto.gov**

## Search Notes

Dear Examiner Bartley:

Please find attached the results of your search for the above-referenced case. The search was conducted in the template files and QPAT.

I have listed *potential* references of interest in the first part of the search results. However, please be sure to scan through the entire report. There may be additional references that you might find useful.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

Paul

## **II. Inventor Search Results from Dialog**

**/3,k/all**

14/3,K/1 (Item 1 from file: 349)  
DIALOG(R)File 349: PCT FULLTEXT  
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00844336 \*\*Image available\*\*

ROUTING CONTROL FOR ORDERS ELIGIBLE FOR MULTIPLE MARKETS  
COMMANDE D'ACHEMINEMENT DESTINEE A DES COMMANDES RECEVABLES PAR DES MARCHES  
MULTIPLES

Patent Applicant/Assignee:

EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US  
(Residence), US (Nationality). (For all designated states except: US)

Patent Applicant/Inventor:

**KEITH Christopher**, 105 Hudson Street, Apt. 5S, New  
York, NY 10013, US, US (Residence), -- (Nationality), (Designated only  
for: US)

Legal Representative:

POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.  
Suite 27B, New York, NY 10019, US.

Patent and Priority Information (Country, Number, Date):

Patent: WO 200177946 A1 20011018 (WO 0177946)

Application: WO 2001US10725 20010402 (PCT/WO US0110725)

Priority Application: US 2000546031 20000410; US 2001801495 20010308

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 51288

Patent Applicant/Inventor:

**KEITH Christopher...**

Legal Representative:

Fulltext Availability:

Detailed Description

Claims

Detailed Description  
... and drawings.

BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a block diagram of a **trading**

**system platform** used with the

present

**methodology**;

Fig. 2 is an overall flowchart of operation of an  
order ELF;

Fig. 3 is a flowchart...with another order umpire on system 5. A mE is  
also referred to as a **representation**

**process** . In a generally symmetric manner, when an order is represented at oU 30 and at...1. Fast mode symbol - available, but not allowing affirmations from the ELF prior to pairing.

2. **In-process** - a periodic **market** is processing its orders. During the time the umpire is in-process, it will not...Posted Price Price at which the amount, above, was posted  
In Crowd The number of **trading** units represented in the crowd  
**In-Process (2)** The number of shares, if any, at this umpire that are in-process due to...

Claim

... the set of trading processes to a plurality of markets in accordance with the respective **trading** methodologies.

2 The **method** of claim 1, wherein one of the orders from one of the trading processes is routed to at least **two** of the **markets**.

3 The **method** of claim 1, wherein the automatically routing is in accordance with a relationship between the...

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14/3,K/2 (Item 2 from file: 349)  
DIALOG(R)File 349: PCT FULLTEXT  
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00844334 \*\*Image available\*\*  
MARKET PROGRAM FOR INTERACTING WITH TRADING PROGRAMS ON A PLATFORM  
PROGRAMME DE MARCHE PERMETTANT D'INTERAGIR AVEC DES PROGRAMMES D'ECHANGES  
COMMERCIAUX SUR UNE PLATE-FORME

Patent Applicant/Assignee:  
EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US  
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

**KEITH Christopher**, 105 Hudson Street, Apt. 5S, New  
York, NY 10013, US, US (Residence), US (Nationality), (Designated only  
for: US)

Legal Representative:

POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.  
Ste. 27B, New York, NY 10019, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 2001177944 A1 20011018 (WO 0177944)  
Application: WO 2001US10721 20010402 (PCT/WO US0110721)  
Priority Application: US 2000546031 20000410; US 2001801588 20010308

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 53363

Patent Applicant/Inventor:

KEITH Christopher...

Legal Representative:

Fulltext Availability:

Detailed Description

Claims

Detailed Description  
... and drawings.

#### BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a block diagram of a **trading**

**system platform** used with the

present

#### **methodology:**

Fig. 2 is an overall flowchart of operation of an  
order ELF;

Fig. 3 is a flowchart...with another order umpire on system 5. A mE is  
also referred to as a **representation**

**process.** In a generally symmetric manner, when an  
order is represented at oU 30 and at...1. Fast mode symbol - available,  
but not allowing affirmations from the  
ELF prior to pairing.

**2. In-process** - a periodic  
**market** is processing its orders. During the  
time the umpire is in-process, it will not...Posted Price Price at which  
the amount, above, was posted  
In Crowd The number of **trading** units represented in  
the crowd  
**In-Process (2)** The number of  
shares, if any, at this umpire that are in-process due to...

Claim

... selected from a set of market methodologies, and  
automatically processing the order according to the  
**market methodology.**

2 The **method** of claim 1, wherein  
the **market methodology** is  
represented in a decision table having rules, each rule having at least  
one condition...

...decision table includes a holding tank for  
storing at least one order waiting for a **market**  
related event.

6 The **method** of claim 2, wherein at  
least one of the rules also specifies a time  
for acting on its...

...method of claim 1, wherein automatically processing includes  
forwarding a price proposal from a first **trading**  
**process** to a **second**  
**trading process**, one of  
the orders having been received from the **second**

**trading process.**

15 The **method** of claim 14, wherein contra-party lists associated with the first and second trading processes have been compared, and disclosure compatibility of the first and **second trading** processes has been checked.

16 The **method** of claim 1, wherein automatically processing includes receiving a choice of negotiation form, automatically detecting...

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14/3,K/3 (Item 3 from file: 349)  
DIALOG(R)File 349: PCT FULLTEXT  
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00844333 \*\*Image available\*\*

PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS  
PLATE-FORME POUR PROGRAMMES DE MARCHE ET PROGRAMMES DE NEGOCE

Patent Applicant/Assignee:

EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US (Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

**KEITH Christopher**, 105 Hudson Street, Apt. 5S, New York, NY 10013, US, US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St. Apt. 27B, New York, NY 10019, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200177943 A1 20011018 (WO 0177943)

Application: WO 2001US10712 20010402 (PCT/WO US0110712)

Priority Application: US 2000546031 20000410; US 2001801848 20010308

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE (EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 53155

Patent Applicant/Inventor:

**KEITH Christopher...**

Legal Representative:

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... OF THE INVENTION

In accordance with an aspect of this invention, there is provided a

**method** of facilitating **trading** on a **platform** supporting multiple processes. At least **two market** processes having respective market methodologies are automatically operated, and at least

two trading processes are...

...having a market methodology selected from a set of market methodologies is operated, and a **representation process** for selectively transmitting an order action between the market process and an external market is...

...and drawings.

#### BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a block diagram of a **trading**

**system platform** used with the

present

**methodology**;

Fig. 2 is an overall flowchart of operation of an order ELF;

Fig. 3 is a flowchart...with another order umpire on system 5. A mE is also referred to as a **representation process**. In a generally symmetric manner, when an order is represented at oU 30 and at...1. Fast mode symbol - available, but not allowing affirmations from the ELF prior to pairing.

2. **In-process** - a periodic **market** is processing its orders. During the time the umpire is in-process, it will not...Posted Price Price at which the amount, above, was posted  
In Crowd The number of **trading** units represented in the crowd  
In-Process(2) The number of shares, if any, at this umpire that are in-process due to...

#### Claim

... trading processes to trade with each other at the market processes according to the respective **market** methodologies.

2 The **method** of claim 1, wherein each **market methodology** is defined by setting parameters independently of the parameters set for other market processes.

3...

...trading processes has a respective order routing strategy for automatically routing orders from the respective **trading process** to the at least **two** **market** processes.

20 The **method** of claim 19, wherein one of the orders from one of the trading processes is routed to at least **two** of the **market** processes.

21 The **method** of claim 19, wherein the automatically routing is in accordance with a relationship between the...comprising automatically ensuring the order is executable in at most one of the first and **second market** processes.

...wherein when a response to the order action is received after the predetermined time, the **representation process** automatically sends a negative acknowledgement to the one of the market process and the external market that originated the response. 106. The method of claim 100, wherein the **representation process** is a platform process.

107. The method of claim 100, further comprising operating a **second representation process** for selectively transmitting actions between the **market process** and a **second external market**. 108. The **method** of claim 1 00, further comprising operating a trading process able to take actions at...

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14/3,K/4 (Item 4 from file: 349)  
DIALOG(R)File 349: PCT FULLTEXT  
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00844332 \*\*Image available\*\*  
TRADING PROGRAM FOR INTERACTING WITH MARKET PROGRAMS ON A PLATFORM  
PLATE-FORME POUR PROGRAMME D'ECHANGES INTERAGISSANT AVEC DES PROGRAMMES DE  
MARCHE

Patent Applicant/Assignee:

EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US  
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

**KEITH Christopher**, 105 Hudson Street, Apt. 5S, New  
York, NY 10013, US, US (Residence), -- (Nationality), (Designated only  
for: US)

Legal Representative:

POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.  
Suite 27B, New York, NY 10019, US.

Patent and Priority Information (Country, Number, Date):

Patent: WO 2001177942 A1 20011018 (WO 0177942)  
Application: WO 2001US10711 20010402 (PCT/WO US0110711)  
Priority Application: US 2000546031 20000410; US 2001802025 20010308

Designated States:

(Protection type is "patent" unless otherwise stated - for applications  
prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 53719

Patent Applicant/Inventor:

**KEITH Christopher...**

Legal Representative:

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... or with another order umpire on system 5. AlnIE is also referred to as a **representation process**. In a generally symmetric manner, when an order is represented at oU 30 and at ...1. Fast mode symbol - available, but not allowing affirmations from the ELF prior to pairing.

**2. In-process** - a periodic

**market** is processing its orders. During the time the umpire is in-process, it will not...Posted Price Price at which the amount, above, was posted

In Crowd The number of **trading** units represented in the crowd

**In-Process(2)** The number of shares, if any, at this umpire that are in-process due to...

Claim

... according to an action strategy selected from a plurality of action strategies by the user.

2 The **method** of claim 1, wherein the **trading process** is operative on a **platform** supporting a plurality of **trading** processes able to interact with the at least one **market** **I O process**.

3 The **method** of claim 2, wherein the **platform** supports at least **two** **market** processes having respective market methodologies selected from a set of market methodologies.

10/3,K/1 (Item 1 from file: 350)  
DIALOG(R)File 350: Derwent WPIX  
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0019080355 - Drawing available

WPI ACC NO: 2009-J51351/200935

Related WPI Acc No: 2008-G80358; 2008-J24970; 2009-F23063

Method for operating different trading processes of goods and services, in financial trading system, involves controlling and performing execution of trading order in different markets during respective timings

Patent Assignee: STIKINE TECHNOLOGY LLC (STIK-N)

Inventor: KEITH C

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 7539638	B1	20090526	US 2001802161	A	20010308	200935 B
			US 2000546031	A	20000410	

Priority Applications (no., kind, date): US 2000546031 A 20000410; US 2001802161 A 20010308

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 7539638	B1	EN	139	103	C-I-P of application US 2000546031

Inventor: KEITH C  
Original Publication Data by Authority

Argentina

Assignee name & address:

Inventor name & address:

Keith, Christopher...

Examiner:

Original Abstracts:

...represents an order that it is handling at multiple market processes simultaneously. Each of the **market** processes and the **trading process** follow a **two-phase** commit protocol, wherein permission to execute the order is obtained from the process controlling...

Claims:

What is claimed is: 1. A computer-implemented **method** of operating at least **two markets** on a **platform** comprising a computer **system**, the **method** comprising: electronically operating a **first market process** and a **second market process** on the computer **system**, wherein the first and **second market** processes respectively provide first and **second** markets that are separate and distinct and are each configured to execute orders for trading...

---

10/3,K/2 (Item 2 from file: 350)  
DIALOG(R)File 350: Derwent WIPIX  
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0017859900 - Drawing available

WPI ACC NO: 2008-G80358/200843

Related WPI Acc No: 2002-017514; 2002-017515; 2002-025925; 2002-097359; 2008-J24970; 2009-F23063; 2009-J51351

Trading facilitating method for financial instrument, involves instantiating timer, setting timer to indicate short term option expiration time, and terminating instance of timer upon expiration of short term option

Patent Assignee: STIKINE TECHNOLOGY LLC (STIK-N)

Inventor: KEITH C

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 7383220	B1	20080603	US 2000546031	A	20000410	200843 B
		US 2001802088	A	20010308		

Priority Applications (no., kind, date): US 2000546031 A 20000410; US 2001802088 A 20010308

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 7383220	B1	EN	139	103	C-I-P of application US 2000546031

Inventor: KEITH C

Original Publication Data by Authority

Argentina

Assignee name & address:

Inventor name & address:

**Keith, Christopher...**

Examiner:

Original Abstracts:

...term option having a term of less than a minute, and sometimes less than a **second**, from a **market process**. The **trading process** and the **market process** both operate on a **platform**.

The **market process** requests a **platform** service to set a timer to measure the expiration time of the short term option...

Claims:

---

10/3,K/3 (Item 3 from file: 350)

DIALOG(R)File 350: Derwent WIPIX

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0011159960 - Drawing available

WIPI ACC NO: 2002-097359/200213

Related WIPI Acc No: 2002-017514; 2002-017515; 2002-025925; 2008-G80358; 2008-J24970

XRPX Acc No: N2002-071972

Trading and transaction execution method for common platform working, involves initiating trading processes to interact with each other at different market processes based on respective marketing methodologies

Patent Assignee: EXCHANGELAB INC (EXCH-N); KEITH C (KEIT-I)

Inventor: **KEITH C**

Patent Family (4 patents, 92 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
WO 2001077943	A1	20011018	WO 2001US10712	A	20010402	200213 B
AU 200149799	A	20011023	AU 200149799	A	20010402	200213 E
US 20010044770	A1	20011122	US 2000546031	A	20000410	200213 E
		US 200101848	A	20010308		
US 7574398	B1	20090811	US 2000546031	A	20000410	200953 E
		US 200101848	A	20010308		
		US 2006514714	A	20060831		

Priority Applications (no., kind, date): US 2000546031 A 20000410; US 2001077943 A 20010308; US 2006514714 A 20060831

Patent Details

Number Kind Lan Pg Dwg Filing Notes

WO 2001077943 A1 EN 222 103

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY  
Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH  
GM GR IE IT KE LS LU MC MW NZ NL OA PT SD SE SL SZ TR TZ UG ZW

AU 200149799 A EN Based on OPI patent WO 2001077943

US 20010044770 A1 EN C-I-P of application US 2000546031

US 7574398 B1 EN C-I-P of application US 2000546031

Continuation of application US

200101848

Inventor: KEITH C

Original Publication Data by Authority

Argentina

Assignee name & address:

Inventor name & address:

Keith, Christopher...

...Keith, Christopher...

...KEITH, Christopher

Examiner:

Claims:

...trading on a platform comprising a computer system on which multiple processes are executing, the **method** comprising:  
automatically operating a first **market process** on the **platform**, wherein the first **market process** provides a first **market** having a **market methodology** that comprises rules of engagement for trading an item between at least **two trading** processes that are executing on the **platform**, automatically operating a representation **process** on the same **platform** as the first **market process** and the at least **two trading** processes, wherein the representation **process** is communicatively coupled to the first **market process** and to a **second market process**, wherein the **second market process** provides a **second market** that is separate and distinct from the first market for trading the item between the at least **two trading** processes, automatically receiving at the representation **process** an order action from one of the first **market process** and the **second market process**, and automatically transmitting the order action from the representation **process** to the other of the first **market process** and the **second market process** according to a type of the order action.

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10/3,K/4 (Item 1 from file: 14)

DIALOG(R)File 14: Mechanical and Transport Engineer Abstract

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0004108850 IP ACCESSION NO: 200909-61-1249142

Representation of order in multiple markets

Keith, Christopher

, USA

PUBLISHER URL:

<http://patft.uspto.gov/netacgi/nph-Parser?Sect1=PTO2&Sect2=H1TOFF&u=/netacgi>

ml/PTO/search-adv.htm&r=1&p=1&f=G&l=50&d=PTXT&S1=75  
39638.PN.&OS=pn/7539638& RS=PN/7539638

DOCUMENT TYPE: Patent  
RECORD TYPE: Abstract  
LANGUAGE: English  
FILE SEGMENT: Mechanical & Transportation Engineering Abstracts

**Keith, Christopher**

**ABSTRACT:**

... represents an order that it is handling at multiple market processes simultaneously. Each of the **market** processes and the **trading process** follow a **two-phase commit** protocol, wherein permission to execute the order is obtained from the process controlling...

---

10/3,K/5 (Item 2 from file: 14)  
DIALOG(R)File 14: Mechanical and Transport Engineer Abstract  
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0002159234 IP ACCESSION NO: 200808-61-1056163  
Automated short term option order processing

**Keith, Christopher**

, USA  
PUBLISHER URL:  
<http://patft.uspto.gov/netacgi/nph-Parser?Sect1=PTO2&Sect2=HIPOFF&u=/netah>  
ml/PTO/search-adv.htm&r=1&p=1&f=G&l=50&d=PTXT&S1=73  
83220.PN.&OS=pn/7383220& RS=PN/7383220

DOCUMENT TYPE: Patent  
RECORD TYPE: Abstract  
LANGUAGE: English  
FILE SEGMENT: Mechanical & Transportation Engineering Abstracts

**Keith, Christopher**

**ABSTRACT:**

... term option having a term of less than a minute, and sometimes less than a **second**, from a **market process**. The **trading process** and the **market process** both operate on a platform. The market process requests a platform service to set a...

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### **III. Text Search Results from Dialog**

#### **A. Full-Text Databases**

##### **show files**

File 348:EUROPEAN PATENTS 1978-200948  
(c) 2009 European Patent Office  
File 349:PCT FULLTEXT 1979-2009/UB=20091126|UT=20091119  
(c) 2009 WIPO/Thomson  
File 15:ABI/Inform(R) 1971-2009/Nov 26  
(c) 2009 ProQuest Info&Learning  
File 9:Business & Industry(R) Jul/1994-2009/Nov 25  
(c) 2009 Gale/Cengage  
File 610:Business Wire 1999-2009/Nov 27  
(c) 2009 Business Wire.  
File 810:Business Wire 1986-1999/Feb 28  
(c) 1999 Business Wire  
File 275:Gale Group Computer DB(TM) 1983-2009/Oct 27  
(c) 2009 Gale/Cengage  
File 624:McGraw-Hill Publications 1985-2009/Nov 26  
(c) 2009 McGraw-Hill Co. Inc  
File 621:Gale Group New Prod.Annou.(R) 1985-2009/Oct 19  
(c) 2009 Gale/Cengage  
File 636:Gale Group Newsletter DB(TM) 1987-2009/Nov 02  
(c) 2009 Gale/Cengage  
File 613:PR Newswire 1999-2009/Nov 27  
(c) 2009 PR Newswire Association Inc  
File 813:PR Newswire 1987-1999/Apr 30  
(c) 1999 PR Newswire Association Inc  
File 16:Gale Group PROMT(R) 1990-2009/Nov 02  
(c) 2009 Gale/Cengage  
File 160:Gale Group PROMT(R) 1972-1989  
(c) 1999 The Gale Group  
File 634:San Jose Mercury Jun 1985-2009/Nov 24  
(c) 2009 San Jose Mercury News  
File 148:Gale Group Trade & Industry DB 1976-2009/Nov 26  
(c) 2009 Gale/Cengage  
File 20:Dialog Global Reporter 1997-2009/Nov 27  
(c) 2009 Dialog  
File 256:TecTrends 1982-2009/Nov W4  
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(c) 2008 American Banker  
File 637:Journal of Commerce 1986-2009/Nov 27  
(c) 2009 UBM Global Trade  
File 635:Business Dateline(R) 1985-2009/Nov 27  
(c) 2009 ProQuest Info&Learning  
File 570:Gale Group MARS(R) 1984-2009/Nov 02  
(c) 2009 Gale/Cengage  
File 47:Gale Group Magazine DB(TM) 1959-2009/Nov 12  
(c) 2009 Gale/Cengage  
File 268:Banking Info Source 1981-2009/Nov W4  
(c) 2009 ProQuest Info&Learning  
File 626:Bond Buyer Full Text 1981-2008/Jul 07  
(c) 2008 Bond Buyer  
File 267:Finance & Banking Newsletters 2008/Sep 29

(c) 2008 Dialog  
File 608:MCT Information Svc. 1992-2009/Nov 27  
(c) 2009 MCT Information Svc.

? ds

Set	Items	Description
S1	163745	(TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR DOUBLE)(3N)(MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S2	24762	(BUY OR BUYING OR PURCHASE? OR ACQUIR?)(3N)(SELL OR SELLING OR SALE? ?)(3N) (MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S3	75712	(TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR DOUBLE)(3N) (PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)
S4	41779	(THREE OR THIRD OR TRIPLE OR 3 OR 3RD)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? - OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)
S5	6505	REPRESENTATION()(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S6	1443937	(PAIRING OR MATCHING OR CONVERT? OR CONVERSION OR LINK? OR RELAT?)(3N) (ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHASE? ? OR EXCHANG???)
S7	1112089	(DIFFERENT? OR DIVERSE OR VARIOUS OR UNRELAT? OR SEPARATE OR DISTINCT OR DISTINGUISH? ? OR DISPARATE)(3N)(MARKET? OR TRAD??? OR TRANSACT?)
S8	795315	(PLACE OR PUT OR ENTER OR SEND OR REQUEST)(3N)(ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHASE? ? OR EXCHANG???)
S9	3749	AU=(KEITH, C? OR KEITH C? OR KEITH(2N)C?)
S10	11	S9 AND S1
S11	0	S10 AND S2
S12	4	S9 AND S5
S13	4	S10 AND S5
S14	4	S12 OR S13
S15	645	S1(50N)S2
S16	4	S15(50N)S3
S17	0	S15(50N)S4
S18	26	S15(50N)S6
S19	0	S15(50N)S5
S20	16	S15(50N)S7
S21	31	S15(50N)S8
S22	21	S5(50N)S6
S23	6026	S7(50N)S8
S24	17	S23(50N)S2
S25	84	S23(50N)S1
S26	4	S25(50N)S3
S27	2	S25(50N)S5
S28	108	S16 OR S18 OR S20 OR S21 OR S22 OR S24 OR S26 OR S27
S29	51	S28 NOT PY>2001
S30	45	RD (unique items)

## **IV. Text Search Results from Dialog**

### **A. Abstract Databases**

**? show files**

File 350:Derwent WPIX 1963-2009/UD=200975  
(c) 2009 Thomson Reuters  
File 347:JAPIO Dec 1976-2009/Jul(Updated 091030)  
(c) 2009 JPO & JAPIO  
File 35:Dissertation Abs Online 1861-2009/Oct  
(c) 2009 ProQuest Info&Learning  
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13  
(c) 2002 Gale/Cengage  
File 65:Inside Conferences 1993-2009/Nov 27  
(c) 2009 BLDESC all rts. reserv.  
File 2:INSPEC 1898-2009/Nov W4  
(c) 2009 The IET  
File 474:New York Times Abs 1969-2009/Nov 26  
(c) 2009 The New York Times  
File 99:Wilson Appl. Sci & Tech Abs 1983-2009/Nov  
(c) 2009 The HW Wilson Co.  
File 34:SciSearch(R) Cited Ref Sci 1990-2009/Nov W4  
(c) 2009 The Thomson Corp  
File 434:SciSearch(R) Cited Ref Sci 1974-1989/Dec  
(c) 2006 The Thomson Corp  
File 169:Insurance Periodicals 1984-1999/Nov 15  
(c) 1999 NILS Publishing Co.  
File 6:NTIS 1964-2009/Dec W1  
(c) 2009 NTIS, Intl Cpyrght All Rights Res  
File 63:Transport Res(TRIS) 1970-2009/Oct  
(c) fmt only 2009 Dialog  
File 8:El Compendex(R) 1884-2009/Nov W3  
(c) 2009 Elsevier Eng. Info. Inc.  
File 14:Mechanical and Transport Engineer Abstract 1966-2009/Nov  
(c) 2009 CSA.  
File 7:Social SciSearch(R) 1972-2009/Nov W4  
(c) 2009 The Thomson Corp  
File 139:EconLit 1969-2009/Nov  
(c) 2009 American Economic Association

**? ds**

Set	Items	Description
S1	8853	(TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR DOUBLE)(3N)(MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? OR SYSTEM? OR OPERATION? ?)
S2	1614	(BUY OR BUYING OR PURCHASE? OR ACQUIR?)(3N)(SELL OR SELLING OR SALE? ?)(3N)(MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? OR SYSTEM? OR OPERATION? ?)
S3	32675	(TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR DOUBLE)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR -

PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)  
 S4 9979 (THREE OR THIRD OR TRIPLE OR 3 OR 3RD)(3N)(PROCESS OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? - OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)  
 S5 9770 REPRESENTATION()(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)  
 S6 224044 (PAIRING OR MATCHING OR CONVERT? OR CONVERSION OR LINK? OR RELAT?)(3N) (ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHASES??? OR EXCHANG???)  
 S7 45733 (DIFFERENT? OR DIVERSE OR VARIOUS OR UNRELAT? OR SEPARATE OR DISTINCT OR DISTINGUISH?? OR DISPARATE)(3N)(MARKET? OR TRADE???)  
 S8 56656 (PLACE OR PUT OR ENTER OR SEND OR REQUEST)(3N)(ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHASES??? OR EXCHANG???)  
 S9 780 AU=(KEITH, C? OR KEITH C? OR KEITH(2N)C?)  
 S10 5 S8 AND S1  
 S11 100 S1 AND S2  
 S12 1 S11 AND S3  
 S13 0 S11 AND S4  
 S14 0 S11 AND S5  
 S15 34 S11 AND S6  
 S16 8 S15 AND S7  
 S17 12 S15 AND S8  
 S18 696 S8 AND S7  
 S19 166 S18 AND S6  
 S20 0 S19 AND S5  
 S21 0 S19 AND S4  
 S22 6 S19 AND S3  
 S23 12 S19 AND S2  
 S24 36 S19 AND S1  
 S25 71 S5 AND S6  
 S26 2 S25 AND S1  
 S27 0 S25 AND S2  
 S28 1 S25 AND S3  
 S29 85 S12 OR S15 OR S16 OR S17 OR S22 OR S23 OR S24 OR S26 OR S28  
 OR S28  
 S30 85 RD (unique items)  
 S31 6 S30 NOT PY>2001

t/ 3,k/ all

313,K/1 (Item 1 from file: 350)  
 DIALOG(R)File 350: Derwent WPIX  
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0010775499 - Drawing available  
 WPI ACC NO: 2001-390082/200141  
 Related WPI Acc No: 2001-390081; 2002-216224  
 XRPX Acc No: N2001-286983

Transaction facilitating method for managing orders in business exchange  
 i.e. goods/services trading, by receiving from originating party and  
 fulfilling member, indication of acceptance settlement criteria generated  
 by processing system